



LEH-0035-98

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Ned Heindel, Wallace Longton, Christine Martey

Serial No.(s): 09/493,891

Filing Date(s): 1/28/00

For: LACTONES OF CARBOXYLIC ACID POLYSACCHARIDES AND  
METHODS FOR FORMING CONJUGATES THEREOF

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(F) AND 1.27(C)) - SMALL BUSINESS CONCERN

I hereby declare that I am  
☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on  
behalf of the concern identified below:

NAME OF CONCERN:

ADDRESS OF CONCERN:

Competitive Technologies, Inc.  
1960 Bronson Road  
Fairfield, CT 06430

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for the purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For the purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled "Lactones of Carboxylic Acid Polysaccharides and Methods for Forming Conjugates Thereof" in

- ☐ the provision application filed herewith  
☐ the specification filed herewith  
☒ application serial number 09/493,891 filed January 28, 2000  
☐ patent number \_\_\_\_\_, filed \_\_\_\_\_

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor(s), who could not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

**NOTE:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name: N/A

Address:

- ☐ INDIVIDUAL  
☐ SMALL BUSINESS CONCERN  
☐ NONPROFIT ORGANIZATION

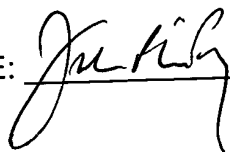
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in the loss of entitlement to small entity prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date in which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and, further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:  
TITLE OF PERSON OTHER THAN OWNER:  
ADDRESS OF PERSON SIGNING:

Frank R. McPike, Jr.  
President  
Competitive Technologies, Inc.  
1960 Bronson Road, Building 1  
Fairfield, CT 06430

SIGNATURE: \_\_\_\_\_



DATE: 4-11-00



## FORMALITIES LETTER



OC00000005003811\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

# See for #3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/493,891	01/28/2000	Wallace A. Longton	LEH-35B-98

Yahwak & Associates  
25 Skytop Drive  
Trumbull, CT 06611

Date Mailed: 03/22/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$156.  
    ■ \$156 for 2 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 976.**

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/03/2000 KZENDIE 00000005 09493891

01 FC:201	345.00 OP
02 FC:202	78.00 OP
03 FC:205	65.00 OP